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HDP/SB/21 based on PTO/SB/21 (08-00)

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/616,871
Filing Date	July 10, 2003
First Named Inventor	Hung T. Du et al.
Group Art Unit	2834
Examiner Name	
Attorney Docket Number	0275Y-000431/CPD

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form HDP-1449 citing 67 references; 1 copy each of 8 foreign patent documents; return receipt postcard.
Remarks		The Commissioner is hereby authorized to charge any additional fees that may be required under 37 CFR 1.16 or 1.17 to Deposit Account No. 02-2548. A duplicate copy of this sheet is enclosed.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Harness, Dickey & Pierce, P.L.C.	Attorney Name	Roland A. Fuller III	Reg. No.	31,160
Signature					
Date	June 11, 2004				

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to: Director of the U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450, or facsimile transmitted to the U.S. Patent and Trademark Office on the date indicated below.

Typed or printed name	Susan M. Steinke	Express Mail Label No.	EV 533 149 065 US (6/7/2004)
Signature		Date	June 11, 2004

EV 533 149 025 US



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 10/616,871
Filing Date: July 10, 2003
Applicant: Hung T. Du et al.
Group Art Unit: 2834
Examiner:
Title: Dynamoelectric Machine Having An Encapsulated Coil Structure
Attorney Docket: 0275Y-000431/CPD

Director of the United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby submits an Information Disclosure Statement for consideration by the Examiner.

I. **LIST OF PATENTS, PUBLICATIONS, AND OTHER INFORMATION**

The patents, publications and other information requested to be considered by the Office (except unpublished U.S. patent applications) are listed on Form 1449 attached hereto.

II. **COPIES**

A. ☐ Submitted herewith is a legible copy of (i) each U.S. patent application publication and U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; (iii) for each cited pending U.S. application, the application specification including the claims, and any drawing of the application which caused it to be listed including the claims directed to that portion; and (iv) all other information or that portion which caused it to be listed.

B. ☐ Any patents, publications or other information which are listed on Form 1449 or on the copies of PTO-892, but which are not enclosed herewith, were

previously cited by or submitted to the PTO in one of the following applications which has been relied upon for an earlier filing date under 35 U.S.C. § 120:

U.S. Serial Number

U.S. Filing Date

C. ☒ Because the present application was/is being filed after June 30, 2003, no copies of the U.S. patents or U.S. patent application publications which are listed on the attached Form 1449 are enclosed pursuant to the waiver of 37 C.F.R. § 1.98(a)(2)(i). Any foreign patent documents or non-patent literature listed on the attached Form 1449 are enclosed herewith.

D. ☐ This is a PCT application in the entry of the National Phase in the United States. A copy of the International Search Report is attached for the Examiner's information. The documents listed on the International Search Report are listed on the attached Form 1449 for consideration by the Examiner and for listing on any patent resulting from this application. Since the International Search report was from the US, EPO, or JPO search authorities, copies of these references should have been supplied to the USPTO under the trilateral agreement and are believed to be in the file of the above-identified application. (MPEP 1893.03(g).)

III. CONCISE EXPLANATION OF THE RELEVANCE (check at least one box)

A. ☒ Except as may be indicated below in (B), all of the patents, publications or other information are in the English language (concise explanation not required).

B. ☒ A concise explanation of the relevance of each patent, publication or other information listed that is not in the English language is as follows (see 37 C.F.R. § 1.98(a)(3)):

1. ☐ See the attached foreign patent office communication from a counterpart foreign application:

2. ☒ English translations or English abstracts are provided as indicated on the PTO-1449 Form:

3. ☐ Other: A brief summary of the following documents that are not in English and for which English translations or English abstracts are not provided are as follow:

C. ☐ The following additional information is provided for the Examiner's consideration.

IV. CROSS REFERENCE TO RELATED APPLICATION(S)

A. ☐ The Examiner is advised that the following co-pending application(s) contain(s) subject matter that may be related to the present application. By bringing this(these) application(s) to the Examiner's attention, Applicant(s) does (do) not waive the confidentiality provisions of 35 U.S.C. § 122.

Serial No.

Filing Date

Art Unit

V. THIS IDS IS BEING FILED UNDER

A. ☐ **37 C.F.R. § 1.97(b):** (check only one box)

1. ☐ within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d) (37 C.F.R. § 1.97(b)(1)). No fee or certification is required.
2. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or certification is required.
3. ☒ before the mailing of a first Office Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below; or, if no certification has been made, charge our deposit account a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).
4. ☐ before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No fee or certification is required.

B. ☐ **37 C.F.R. § 1.97(c):** (check only one box)

before the mailing date of either any Final Office Action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution.

1. ☐ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).
2. ☐ See the certification below. No fee is required.

C. ☐ 37 C.F.R. § 1.97(d):

after the mailing date of either a Final Office Action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, yet on or before payment of the issue fee.

1. ☐ See the certification below. A fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e): (check only one box)

The undersigned hereby certifies that:

A. ☐ each item of information contained in this IDS was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS (See 37 C.F.R. § 1.97(e)(1)). See further statement under 37 C.F.R. 1.704(d) below in section VII, if applicable; or

B. ☐ no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS (See 37 C.F.R. § 1.97(e)(2)).

C. ☐ some of the items of information were first cited in a communication from a foreign patent office. As to this information, the undersigned hereby certifies that each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this IDS.

VII. STATEMENT UNDER 37 C.F.R. 1.704(d)

The undersigned hereby states that:

☐ each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this IDS.

VIII. PAYMENT OF FEES (check only one box)

A. ☐ A check in the amount of \$180.00 is enclosed for the above identified fee.

B. ☐ Please charge Deposit Account No. 02-2548 in the amount of \$180.00 for the above-indicated fee. A duplicate copy of this paper is attached.

The above references are being cited only in the interest of candor and without any admission that they constitute statutory prior art, contain matter which anticipates the invention, or which would render the same obvious, either singly or in combination, to a person of ordinary skill in the art. Furthermore, this Information Disclosure Statement shall not be construed as a representation that a search has been made.

If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition if necessary) and charge the appropriate fee to Deposit Account No. 02-2548.

Please charge any additional fees or credit any overpayment pursuant to 37 C.F.R. § 1.16 or § 1.17 to Deposit Account No. 02-2548.

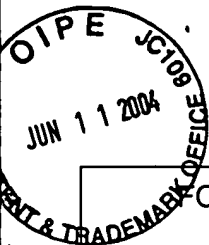
Respectfully submitted,

Dated: June 11, 2004

By: Roland A. Fuller III
Roland A. Fuller III
Reg. No. 31,160

Harness, Dickey & Pierce, P.L.C.
P.O. Box 828
Bloomfield Hills, Michigan 48303
(248) 641-1600

RAF/ss



FORM HDP-1449 (Based on Form PTO-1449)

PATENT AND TRADEMARK OFFICE
INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

Sheet 1 of 4

ATTORNEY DOCKET NO.	SERIAL No.
0275Y-000431/CPD	10/616,871
APPLICANT	
Hung T. Du et al.	
FILING DATE	GROUP
July 10, 2003	2834

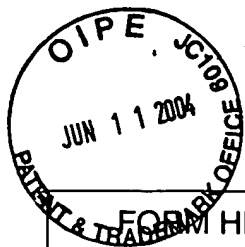
U.S. PATENT DOCUMENTS

Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date
1.		1,619,415	03/01/1927	Gomory		
2.		1,888,613	11/22/1932	Apple		
3.		2,914,600	11/24/1959	Smith et al.		
4.		2,937,408	05/24/1960	E.J. Limpel		
5.		2,944,297	07/12/1960	Maynard		
6.		2,967,960	01/10/1961	Waldschmidt		
7.		3,213,307	10/19/1965	Summerfield		
8.		3,477,125	11/11/1969	Schwartz		
9.		3,555,316	01/12/1971	Bleich		
10.		3,638,055	01/25/1972	Zimmermann		
11.		3,672,039	06/27/1972	Arnold		
12.		3,697,792	10/10/1972	Roue		
13.		3,772,452	11/13/1973	Usowski		
14.		3,859,400	01/07/1975	Ma		
15.		3,860,744	01/14/1975	Schuler		
16.		3,893,792	07/08/1975	Laczko		
17.		3,911,563	10/14/1975	Anderson		
18.		3,932,083	01/13/1976	Boettner		
19.		4,102,973	07/25/1978	Hanning		
20.		4,152,103	05/01/1979	Napierski		
21.		4,352,897	10/05/1982	Ogata et al.		

Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FORM HDP-1449 (Based on Form PTO-1449)

**PATENT AND TRADEMARK OFFICE
INFORMATION DISCLOSURE CITATION**

(Use several sheets if necessary)

Sheet 2 of 4

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0275Y-000431/CPD	10/616,871
APPLICANT	
Hung T. Du et al.	
FILING DATE	GROUP
July 10, 2003	2834

U.S. PATENT DOCUMENTS

Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date
22.		4,362,490	12/07/1982	Machida et al.		
23.		4,365,407	12/28/1982	Zdaniewski et al.		
24.		4,370,188	01/25/1983	Otty		
25.		4,456,844	06/26/1984	Yamamoto et al.		
26.		4,473,716	09/25/1984	Jesseman		
27.		4,492,884	01/08/1985	Asano et al.		
28.		4,543,708	10/01/1985	Matsubara et al.		
29.		4,602,180	07/22/1986	Olson		
30.		4,635,348	01/13/1987	Van Zyl		
31.		4,806,806	02/21/1989	Hjortsberg et al.		
32.		4,973,872	11/27/1990	Dohogne		
33.		5,038,460	08/13/1991	Ide et al.		
34.		5,075,585	12/24/1991	Teruyama et al.		
35.		5,090,110	02/25/1992	Murakoshi et al.		
36.		5,100,311	03/31/1992	Clemens et al.		
37.		5,331,730	07/26/1994	Brinn, Jr.		
38.		5,376,325	11/27/1994	Ormson		
39.		5,449,963	12/12/1995	Mok		
40.		5,587,619	12/24/1996	Yumiyama et al.		
41.		5,672,927	09/30/1997	Viskochil		

Examiner:

Date Considered:

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FORM HDP-1449 (Based on Form PTO-1449)

**PATENT AND TRADEMARK OFFICE
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Sheet 3 of 4

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Hung T. Du et al.	
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July 10, 2003	2834

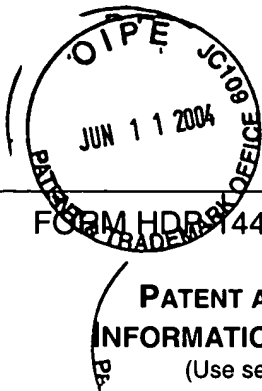
U.S. PATENT DOCUMENTS

Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date
42.		5,880,179	03/09/1999	Ito et al.		
43.		5,990,247	11/23/1999	Terada et al.		
44.		6,063,321	05/16/2000	Koyama et al.		
45.		6,064,136	05/16/2000	Kobayashi et al.		
46.		6,075,304	06/13/2000	Nakatsuka		
47.		6,226,857	05/08/2001	Becherucci		
48.		6,242,825	06/05/2001	Mori et al.		
49.		6,278,213	08/21/2001	Bradfield		
50.		6,309,579	10/30/2001	Koyama et al.		
51.		6,332,998	12/25/2001	Yamagata et al.		
52.		6,426,578	07/30/2002	Mori et al.		
53.		6,643,910	11/11/2003	Kanai et al.		
54.		6,651,920	11/25/2003	Sedgewick et al.		
55.		2001/0045687	11/29/2001	Baumann et al.		
56.		2002/0017732	02/14/2002	Koyama et al.		
57.		2002/0148100	10/17/2002	Du		
58.		2003/0033709	02/20/2003	Bradfield		
59.		2003/0160523	08/28/2003	Suzuki et al.		

Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FORM PTO-1449 (Based on Form PTO-1449)

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Sheet 4 of 4

ATTORNEY DOCKET NO.	SERIAL No.
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APPLICANT	
Hung T. Du et al.	
FILING DATE	GROUP
July 10, 2003	2834

FOREIGN PATENT DOCUMENTS

Ref. Desig.	Examiner's Initials	Document Number	Date	Country	Class/ Subclass	Translation	
						Yes	No
1.	✓	JP 2002-535954	10/22/2002	Japan		Description & Claims	
2.	✓	JP 05-060172	03/09/1993	Japan		Abstract	
3.	✓	JP 10-174384	06/26/1998	Japan		Abstract	
4.	✓	JP 2002-044916	02/08/2002	Japan		Abstract	
5.	✓	JP 2002-247813	08/30/2002	Japan		Abstract	
6.	✓	JP 2003-134714	05/09/2003	Japan		Abstract	
7.	✓	JP 2003-274592	09/26/2003	Japan		Abstract	
8.	✓	JP 11-299190	10/29/1999	Japan		Abstract	

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

Ref. Desig.	Examiner's Initials	
1.		

Examiner:

Date Considered:

EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.